

COUNTY OF SANTA CLARA
PROBATION DEPARTMENT DESCRIPTION
ADULT SERVICES
INTERVIEWS JULY 17–19, 2000

Interview Process

On-site interviews with seven stakeholder groups were conducted in San Jose on July 17–19, 2000. The groups were divided into juvenile and adult services, except for the chief probation officer and senior staff and the county administrator’s office staff, who participated in both juvenile and adult services discussions. The seven stakeholder groups were as follows:

1. Judges and court administrators
2. Chief probation officer and senior staff
3. Line supervisors and probation officers
4. Prosecutors and defense attorneys
5. County administrators
6. Public community agencies
7. Private community agencies

A total of 84 people were interviewed. This number included 5 judges, 13 senior probation managers, 38 first-line supervisors and line staff, 19 public and private agency representatives, 6 prosecutors and defense attorneys, and 3 staff members from the county administrator’s office. Several stakeholder groups addressed the same questions. Separate reports addressing juvenile and adult services have been prepared for Santa Clara County. Although many of the answers in both reports are the same or similar, the questions were addressed separately by both juvenile and adult services stakeholders. In some instances, contradictory responses were given. These areas of contradiction are reported under the questions to which they pertain.

Prior to the on-site interviews, several actions occurred. Eighteen categories related to juvenile and adult services were developed. Each category included several questions specific to that topic. These questions were discussed, modified, and clarified at a meeting with representatives from the six counties selected to be part of this process. To accommodate the time frames of this project, participating counties were asked to address the questions in writing and to provide as much information as possible prior to the actual interviews. *This report combines all responses and does not specifically identify the part of the justice system reporting.* The 18 categories are as follows:

- I. Demographic Information
- II. Organizational Structure
- III. Department Mission and Objectives
- IV. Policies and Procedures
- V. Monitoring and Evaluation Process
- VI. Management Information Systems
- VII. Funding Sources
- VIII. Probation Services
- IX. Specialized Court Services
- X. Probation and Private Service Provider Partnerships
- XI. Staff Development and Training
- XII. Communication Systems
- XIII. Program or Service Gaps
- XIV. Partnership with Judiciary
- XV. Partnership with Prosecutors and Defense Attorneys
- XVI. Partnership with Other Collaborative County Departments
- XVII. Juvenile Probation Partnership with Education System
- XVIII. Strengths of Probation Department

SANTA CLARA COUNTY ADULT SERVICES DESCRIPTION

A total of 47 stakeholders addressed the questions related to adult services. The participant breakdown was as follows:

- Two judges
- Thirteen senior managers
- Eighteen supervisors and probation officers
- Eight public and private community agencies
- Three prosecutors and defense attorneys
- Three representatives of the county administrator's office

I. Demographic Information

A. Description of the county

Santa Clara is the largest county in the San Francisco Bay Area, with 1,312 square miles populated by over 1.7 million residents in 15 cities, including San Jose.

Ninety-two percent of the population live in cities. Santa Clara County is located at the southern end of the San Francisco Bay Area. San Jose is the largest city in the county, with a population of 850,000. Hispanics and Asians make up approximately 50 percent of the population.

Santa Clara County is the fourth largest county in California. The county employs a workforce of over 16,000. Santa Clara was one of the state's original 28 counties. For 100 years, agriculture and food processing flourished in the "Valley of Heart's Delight." Today, aerospace and electronics manufacturing has replaced orchards and packing plants. Santa Clara County is known as Silicon Valley, the birthplace of high technology.

Santa Clara County is a major employment center for the region, providing more than a quarter of all jobs in the Bay Area. It has one of the highest median family

incomes in the country and includes a wide diversity of cultures, backgrounds, and talents.

B. Size of probation department

As of July 2000, the probation department had 877.5 budgeted positions. This includes 5 executive managers, 17 managers, and 63 supervisors, for a total of 85 managers/supervisors. The total number of positions for administrative, support, clerical, and miscellaneous services is 248. The staff breakdown for adult probation services follows:

- Seventy-three adult investigators
- Seventy-seven adult supervision probation officers

C. Offender population, including types of offenses

As of June 30, 1999, a total of 26,018 adults were being served by the Santa Clara Probation Department. The classification of these cases follows:

▪ Maximum supervision (2%)	503
▪ Regular supervision (7%)	1,763
▪ Minimum supervision (13%)	3,294
▪ Banked cases (43%)	11,256
▪ Diversion cases (12%)	3,056
▪ Drunk driving (16%)	4,156
▪ Special programs (3%)	655
▪ New (unclassified) (5%)	1,335
Total	26,018

II. Organizational Structure

A. History of structure

- In 1982, the juvenile and adult departments were consolidated into three divisions: Probation Services, Institutional Services, and Administrative Services
- In 1990, returned to juvenile and adult divisions
- In 1997, separated juvenile hall
- Separated juvenile hall and administrative services

B. Theory behind organizational structure

- Adult probation services were getting lost
- Focus was entirely on juvenile services
- Transferred resources to adult probation
- Desired a balanced department for both juvenile and adult services

C. Reporting lines of authority

- Four layers of management:
 - Chief
 - Deputy chief
 - Manager
 - Supervisor
- Same consistent line of authority for both juvenile and adult divisions
- The four layers of management are working effectively

D. Discuss organizational structure strengths

- Appears to be the appropriate levels of management staff

E. Suggested organizational changes

- Organizational structure is working well

III. Department Mission and Objectives

A. Written department mission statement

- There is a department mission statement that was recently updated
- There was a difference of opinion on the frequency of the statement's updating

B. Written adult services mission statements

- Adult probation services use the department mission statement

C. Written annual objectives for adult services

- Objectives are available for restarting adult probation
- There are no specific written annual objectives for the division
- The department is beginning to explore objectives and comprehensive performance measures

D. Discuss staff involvement in the mission statement process

- Staff at every level has an opportunity to give input on the department mission
- A millennium committee composed of staff from all levels of the organization worked on the statement
- All staff had an opportunity to comment during the committee process
- E-mail is one vehicle used to give input on the mission statement
- Input from line and support staff is welcome

E. Discuss how objectives are implemented within the department

- Objectives do not reach supervisors or line staff at this time
- Objectives are developed for each program
- It is a management goal to have objectives communicated to every level of the organization

IV. Policies and Procedures

A. Does the department have a policies and procedures manual?

How often is it revised?

- There is an overall administrative procedures manual
- There are monthly updates on certain sections of the manuals
- Revisions are from positions of managers and above
- There is no standing policies and procedures committee

B. How are policies and procedures implemented?

- Supervisors review with staff
- Discussed at team meetings
- Each supervisor has a complete manual
- Direct input from staff who have direct responsibilities for implementation
- All juvenile and adult supervisors review policies

C. Describe the process used to prepare policies

- Supervisors work on the specific subject matter
- Managers write the policies

D. Describe staff input in policy development

- Supervisors share with line staff
- Suggestions come from interested line staff

E. Describe the process used to monitor policies and procedures

- Review of policies and procedures is part of department training
- Juvenile and adult supervisors use check-off procedures to ensure that officers have seen the policies and procedures
- The system is described as informal
- Adult supervisors evaluate yearly

V. Monitoring and Evaluation Process

A. Describe the evaluation procedures for programs and services

- Grant programs have evaluation components as part of the award system

- All contracted programs have an evaluation component
- The county administrator's office has identified priority services that require performance-based evaluations
- Not all programs are evaluated
- The department is prioritizing programs that need evaluation
- The department recognizes the importance of evaluating all programs and services
- Some evaluations are conducted by outside evaluators
- Some programs are evaluated by in-house staff

B. Are evaluations designed on performance-based measures?

- Programs that are evaluated have some level of outcome measures
- Some specialized programs are evaluated with performance-based measures

C. Describe how monitoring and evaluation information is reported to the CPO

- CPO meets with program staff to discuss evaluation-based changes
- Senior managers meet regularly to discuss program evaluation
- Supervisors are involved and can access CPO

D. Describe how this information is integrated into programs and services

- Evaluation information is shared with staff involved in the program
- Management is encouraged to get staff involved
- Extensive dialogues take place with staff
- County administrator's office always has an evaluation component
- New county funding efforts have evaluation components

E. Describe how information from evaluations is integrated into management decisions

- Management embraces the importance of evaluation data

- Information and suggested program changes are shared with the judiciary and county administrator

VI. Management Information Systems

A. Describe the current information system

- Countywide mainframe system including the Juvenile Record System and Criminal Justice Information Control
- Department of Revenue system that provides fee/restitution payment information
- Provides in-house case management information
- Focus is on probation officer needs to manage caseloads
- E-mail
- Authorized WWW Internet
- Support staff has a major data input responsibility

B. Assess the efficiency of the information system

- Rated as 70 to 75% efficient by juvenile division
- Rated as 85 to 90% efficient by adult division
- No capability for adult institutions
- System needs to be better integrated
- Duplication of data entry
- Department is moving in the right direction

C. Describe how information needs are determined

- Executive management team determines the priorities
- Mandated by county, state, and federal sources and legislative changes
- County policy and grant requirements
- System and automation recommendations presented by various user committees
- Information system unit reviews all requests and is very accessible

- Line staff give input through supervisors
- Line staff has regular direct contact with information system unit
- Line staff describe the department as an “open” system

D. Does a users committee exist and what is the composition?

- There is no regular users committee
- Major automation projects have specialized users committees
- Committees consist of user representatives, including probation officers and support staff
- Each project has a committee
- Information is shared openly

E. Describe how the MIS interacts with other parts of the system

- A countywide steering committee meets to discuss information system
- Juvenile and adult information systems are shared by juvenile and criminal justice agencies
- Adult services use the Criminal Justice Information Control System and NCIC
- State parole shares the same NCIC network

F. Discuss additional information needs

- Information from the court is slow and is pretty much a paper-flow system
- Frequently get clients before information is forwarded
- Integration of the mainframe with local department systems
- There is no information system from county to county
- An interagency pilot project is reviewing common information needs that can be shared
- No data is received from the Department of Social Services
- System must avoid duplication of data entry
- Transfer of medical information from health and hospital services or mental health services
- Electronic court information exchange between court and probation

- Court calendar information
- Community public agencies must have access to nonconfidential parts of the probation information system
- Information on offenders arrested in other counties
- Policies and procedures online
- There is a need for telecommunication capabilities, such as videoconferencing

G. What are the computer equipment needs?

- Remote access facility for program staff stationed in satellite community facilities
- Laptops to support field staff
- Scanning capability

VII. Funding Sources

A. What is the total budget (juvenile and adult breakdown)?

- The total budget is \$73.4 million:
 - Central administration is \$13.9 million (19%)
 - Adult services division is \$20.6 million (28%), which includes investigations, supervision, men's work furlough, women's work furlough, and administration
 - Juvenile probation services is \$25.2 million (34%), which includes juvenile community services; juvenile delinquency services; and James, Holden, and Wright Center ranches
 - Juvenile detention services is \$13.7 million (18%)

B. What are the major line items?

- Adult services division:
 - Investigations: \$6 million
 - Supervision: \$6.5 million
 - Men's work furlough: \$2 million

- Women's work furlough: \$1.3 million
- Administration: \$7.4 million

- Juvenile probation services:
 - Juvenile community services: \$7.5 million
 - Juvenile delinquency services: \$6.7 million
 - James Ranch: \$3.2 million
 - Holden Ranch: \$2.8 million
 - Wright Center: \$2.6 million
 - Juvenile detention services: \$13.7 million

C. What are your various funding sources?

- Fees
- Traffic and courts
- Federal
- State
- Other

D. Where are your greatest funding item deficits?

- Staff for adult supervision cases
- Technology for drug testing
- Telephones for field work
- Vehicles
- Staff training before getting a caseload
- More staff for regular adult caseloads
- Retired staff returning in mentorship positions
- Short-term residential beds for substance abusers
- Mental health residential facilities
- Additional disposition options
- Dual-diagnosis treatment services
- Physical plant update throughout the whole department

- Offer training to community agencies
- Resources to arm probation officers in high-risk assignments

E. Level of CPO control over budget

- Has control over department budget
- Participates in county board committees

F. Large budget category comparisons for the past five years

- FY 1997: \$54,928 million
- FY 1998: \$59,880 million
- FY 1999: \$64 million
- FY 2000: \$66.5 million
- FY 2001: \$73.4 million

VIII. Probation Services

A. Discuss the automated and validated needs/risk tools being used

- Modified Wisconsin Needs/Risk Assessment
- SASSI for substance abuse assessments
- Use the JACK as part of the PSI assessment at the jail
- Department of Alcohol and Drugs provides drug court assessments
- Assessment for domestic violence cases

B. Describe any specialized assessment services you provide

- Outside agencies provide specialized assessments
- Specialized courts have eligibility criteria assessments

C. What are the current probation supervision workload standards?

- There are currently no workload standards
- There is no system of equal distribution of workloads among probation officers

- Specialized caseloads have maximum numbers per officer
- It was determined a number of years ago that each probation officer has 119 hours per month available to service clients

D. Describe how these workload standards are determined

- Complete time study 15 years ago
- Management expressed need to have a current time study

E. Describe the case plan process (supervision plan)

- Every case has a written supervision plan either at sentencing or 30 days after
- Offenders are screened for specialized programs
- Probation screens for all jail alternative programs

F. Describe the continuum of services offered to probationers from least to most restrictive sanctions

- There is no formalized continuum of services
- The services offered to adult offenders are registration and orientation procedures for drunk driving, presentence investigations, adult screening unit, regular supervision caseloads, substance abuse unit, intensive supervision unit, and screening for all jail alternative programs

G. Are there eligibility criteria for entering and exiting each program and service? Please describe.

- Probation reports there are criteria for entering and exiting each program and service

H. What sanctions along the continuum are *not* available?

- Inpatient and outpatient mental health services
- Inpatient and outpatient drug treatment services
- Need victim services, especially for property crimes
- Restorative justice concept for adults

- Need a restitution specialist to increase the percentage of restitution payments
- Need employment referral resources
- Need an assessment unit
- Modernized urine testing system
- County has many services but needs more coordination with probation
- Need more probation officer supervision
- Reducing length of time on supervision would allow more probation officer supervision

I. Describe the role the judiciary plays in the intermediate sanctions system

- Usual practice is for probation to determine the appropriate sanctions
- Judges play an active role in domestic violence cases
- Judges meet with probation officers on drug treatment sanctions
- Judges decide on the general conditions of probation
- Judges conduct probation revocation hearings

J. What role does the judiciary play in determining the types of supervision sanctions needed?

- Determines the conditions of probation
- Usually agrees with specialized needs recommended by probation

K. Are there any mandated sanctions?

- For domestic violence
- Under the influence of drugs
- Sex offender registration
- DNA testing
- AIDS testing
- For certain serious offenses

IX. Specialized Court Services

A. List the specialized programs in your county

- Domestic violence courts
- Drug courts
- Mental health calendar
- Drug cases calendar
- Drug diversion program

B. Describe the relationship between these programs and probation

- All specialized courts have excellent working relationships with probation
- Defense attorneys are understaffed
- Defense attorneys have too many reviews

X. Probation and Private Service Provider Partnerships

A. Describe the services private vendors provide to the probation department

- Electronic monitoring
- Domestic violence treatment
- Sentencing alternative programs
- Mental health placements
- Work furloughs
- Batterers programs
- Anger management
- Computer learning

B. How does probation staff view these services or programs?

- General observation is very positive
- Excellent collaborative relationships
- More timely reporting would improve services

XI. Staff Development and Training

A. Describe the specific training subjects offered to staff

- Each new probation officer receives 240 hours of training by the state
- Each probation officer must have 40 hours of training annually
- Each institution worker must take 24 hours of annual training
- Each new supervisor and manager receives 80 hours of required training
- Each employee receives an in-house orientation program
- There are two full-time training officers who coordinate the department training effort
- Training is offered by internal staff as instructors
- Training is offered by contracted instructors

B. List the training courses that are mandatory

- Several courses are mandatory but not on an annual basis
- Mandatory courses include cultural diversity and sexual harassment
- Mandatory training for specialized programs such as domestic and family violence and for specialized caseloads

C. Describe how staff training needs are determined

- Supervisors determine officer needs
- Monthly meetings with the Probation Officers Union are devoted to training needs
- Staff makes specific training requests
- Some training is mandated outside of the department
- Supervisors discuss training needs jointly with officers
- A training committee addresses staff development needs
- There is a yearly assessment of training requests

D. Describe the process used to get staff input for training needs

- Exchange of ideas from all levels of the department
- Training officer conducts an annual staff development needs inquiry

- An excellent range of training courses is available to staff
- There is a lack of informal and internal training offered to institution staff

E. Describe the types of cross-training taking place

- Some within the department
- Staff recognizes a need for cross-training and welcomes opportunities
- Some training with prosecutors and defense attorneys

F. Describe the management training being offered

- Eighty-hour course after promotion to supervisor or manager
- Probation supervisors and managers have a minimum of 40 hours of training annually
- There is limited training for supervisors
- Leadership training is provided for anyone who wishes to attend
- Professional training conferences are encouraged
- It would be helpful to offer management training prior to promotions

XII. Communication Systems

A. Describe the department's staff meeting schedule

- Executive team meets weekly
- Senior managers meet monthly
- Supervisors meet weekly
- All staff meet quarterly
- Consensus that communication in the department is good
- Communication with satellite offices is more difficult
- Scheduled meetings with union representatives

B. Describe the process used to disseminate day-to-day information to line staff

- E-mail

- Web site
- Memoranda
- Quarterly newsletters
- Bulletin boards
- Open and informal channels of communication
- Staff feel they “know what’s happening”

XIII. Program or Service Gaps

A. Discuss the resources, services, or programs you need to provide a more effective probation service

- Not enough staff resources for the general caseloads
- Need for more vehicles
- Additional staff training
- Off-site drug testing
- More timely urine test results
- Mentoring of inexperienced probation officers
- Office space and physical plant need updating and are overcrowded
- Additional development of technology information
- Must move away from a Band-Aid approach
- Need more prevention services
- Need more mental health services
- Probation officers are too police oriented
- Need substance abuse treatment services
- Need more employment opportunities for offenders
- Safety issues should be reviewed
- Time delay with exchange of information between probation and community agencies
- Probation is not getting timely information after a probationer is released from jail

B. Are any programs mandated?

- Institutionalization for certain offenses

XIV. Partnership with Judiciary

A. What services does probation provide for the judiciary?

- Court officers
- Prepare sentencing calendars
- Staff probation violation calendar
- Probation supervision
- Screening sentenced offenders
- Case management of drug court clients
- Specialized caseloads
- Interstate compact matters
- Prepare excellent court reports
- Service as a neutral party between prosecutor and defense

B. Describe the relationship between the judiciary and the probation department

- Court officers are excellent and serve the judiciary well
- Regular caseload officers do not like to appear in court
- Probation department believes there is an open-door policy with the judges
- Probation officers believe they have an excellent relationship with the judiciary

C. Describe the process used by probation and the judiciary to ensure that the judiciary has the broadest possible sentencing alternatives

- Court units communicate with the judges and coordinate appropriate services
- Probation periodically makes presentations to the judiciary about services and programs
- Informal communication network

- Judges believe they have adequate options

D. What changes or enhancements are needed to improve this partnership?

- Quarterly meetings with judiciary, prosecutor, and defense attorney
- Written description of programs
- Joint judicial and probation training
- More use of e-mail
- Judges need more education on the function of probation services
- More independence by probation officers in advising the court
- Judges and probation should get to know each other better
- Probation needs a full-time grant writer

XV. Partnership with Prosecutors and Defense Attorneys

A. What are the points of interaction among probation, prosecutors, and public defenders?

- Prosecutor discusses cases with probation at pretrial
- Prosecutor and probation interact at disposition hearings
- Prosecutor, defense, and probation sit on multiagency task force
- Defense attorney and probation share police reports

B. Describe the relationship among prosecutors, defense attorneys, and the probation department

- Perception that prosecutors think probation works for them
- Probation is seen as an arm of the prosecutor
- Prosecutor relies on the probation officer
- Prosecutor and probation interact frequently but not with defense attorneys
- Probation needs to remain unbiased
- Defense attorney sees the prosecutor and probation as a team rather than as neutral
- Goal of young prosecutors is to get convictions

C. Discuss the exchange of information among probation, prosecutors, and defense attorneys

- Probation uses the prosecutor file to start the case
- Defense attorney is not sharing much information
- Defense attorney has access to the probation file
- Probation calculates the sentence
- Probation views the prosecutor as receptive

D. What changes or enhancements are needed to improve the partnership?

- More cross-training
- Need to work closely together on the violation calendar
- Judges not happy when prosecutor gives probation an opinion on sentencing
- Prosecutors and defense attorneys need to be better educated about how the system works
- Defense attorneys need to provide training to probation officers
- Regular partnership meetings
- Develop a common goal and mission for all parties

XVI. Partnership with Other Collaborative County Departments

A. What are the points of interaction with these departments?

- No information gathered

B. Describe the relationship between probation and these departments

- Generally good working relationships
- Probation is asked to help with its expertise
- Probation is asked to be on county teams
- Grants need more collaboration

C. Discuss the exchange of information between probation and these departments

- Excellent
- All involved keep looking for ways to improve
- Other departments are presenting for the probation department at budget hearings

D. What changes or enhancements are needed to improve this collaborative relationship?

- Focus has to be on the overall system and not individual agencies

XVII. Strengths of Probation Department

A. List and discuss the elements of the probation department services that you believe are outstanding or exceptional

- Restorative justice program has been very successful
- Drug court program has been effective
- The millennium task force demonstrated outstanding insight and vision by top management
- Department is not looking at custody as a first alternative
- Innovations are welcome and successful
- Relationships with other public and private agencies are very good
- Excellent relationship with union
- Openness to new ideas
- Relationship with county government is exemplary
- Staff is very creative
- Collaboration with other agencies is exemplary
- Administrative services is very integrated and responsive to the department
- Probation officer technical ability in court matters is outstanding
- Probation works very well with the community
- Probation is an excellent advocate for family issues

- The leadership of probation is visionary and well respected throughout the county
- Regional relationships are very good
- Domestic violence court is unique and serves as a state model
- Probation prepares sophisticated proposals
- Probation staff are creative
- Probation does an outstanding job at sentencing computation
- Clean system with no corruption
- Probation has a highly educated staff
- Exchange of information between probation and community agencies is good
- The department is committed to excellence